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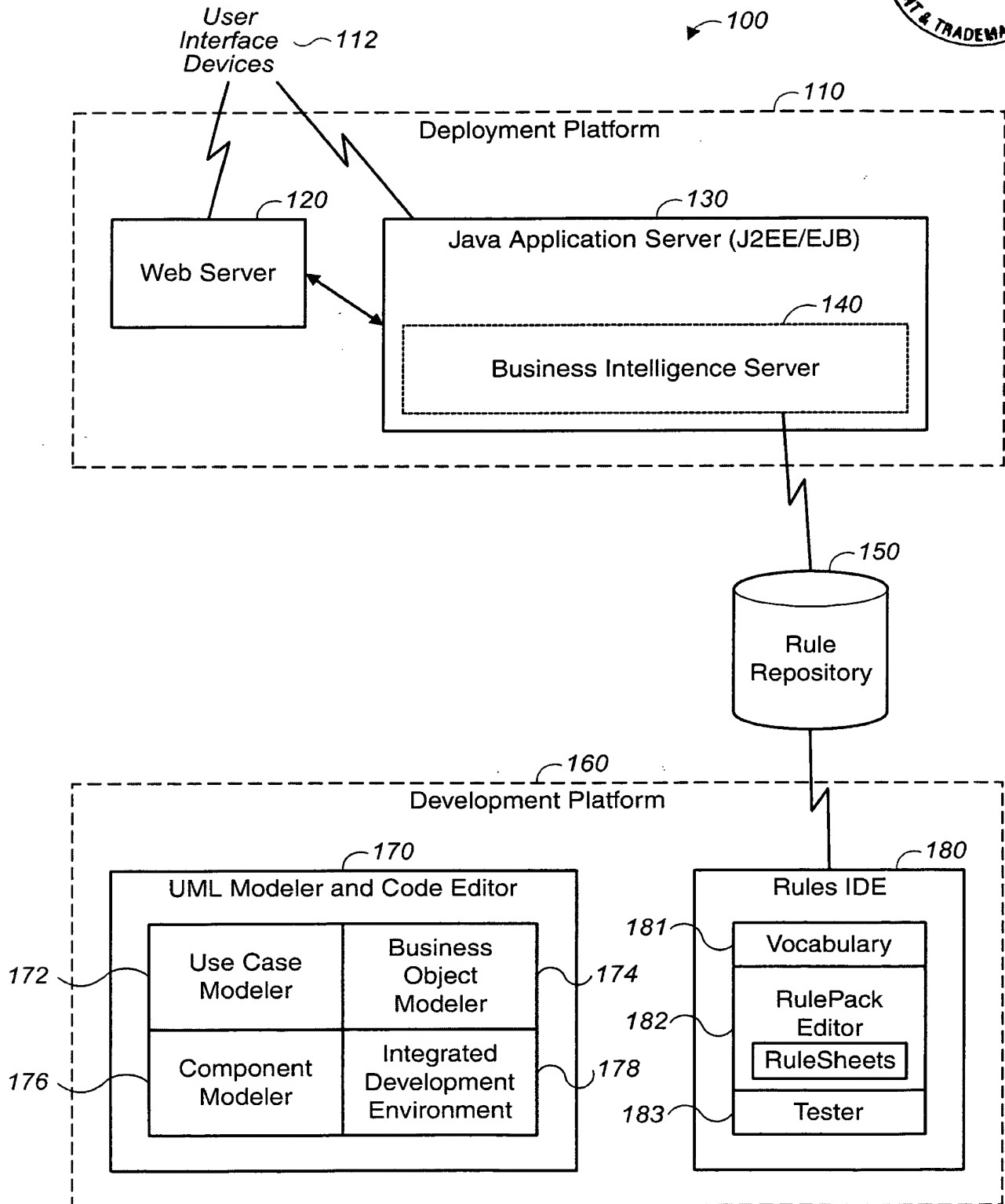


FIG._1

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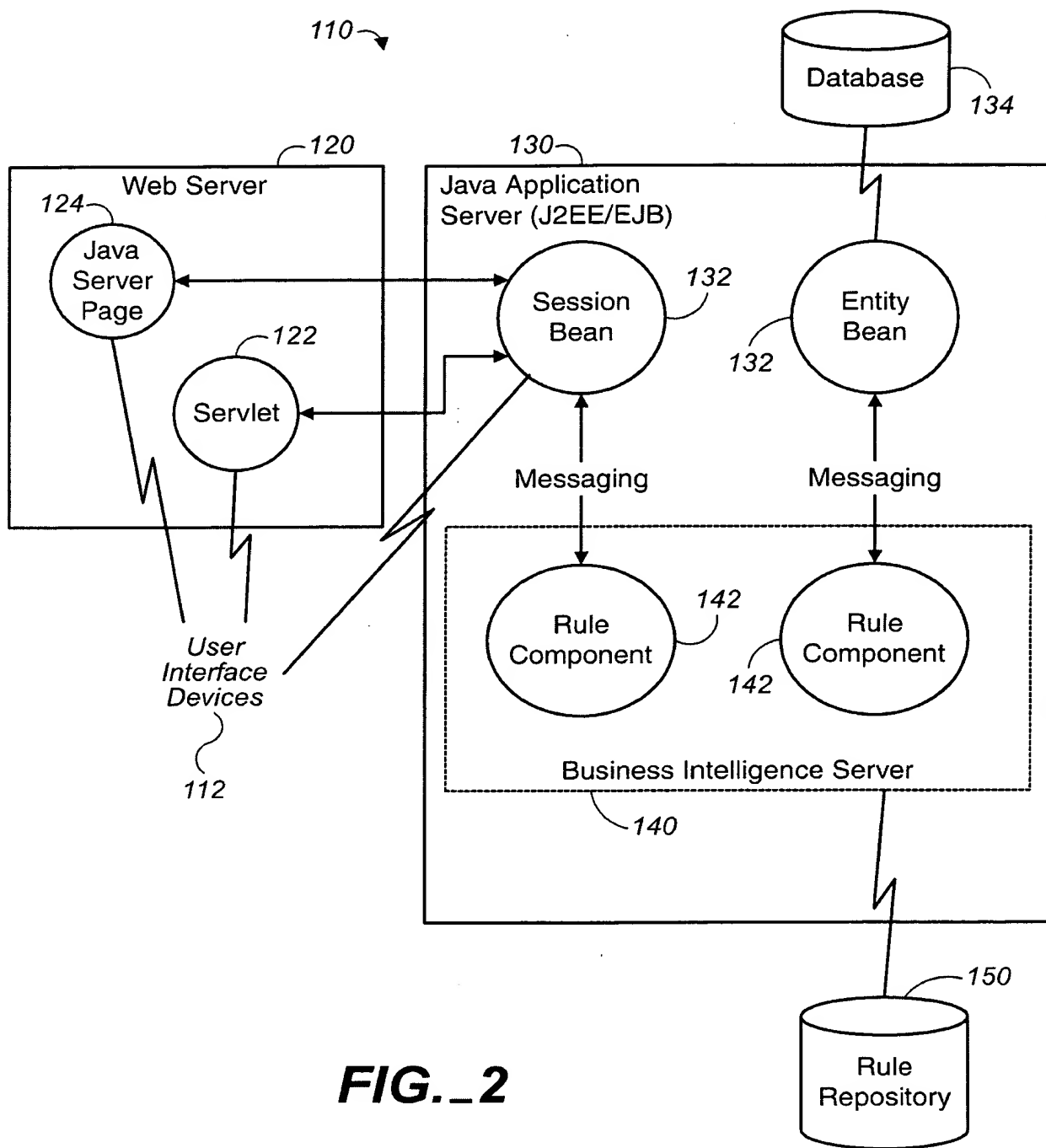


FIG. 2

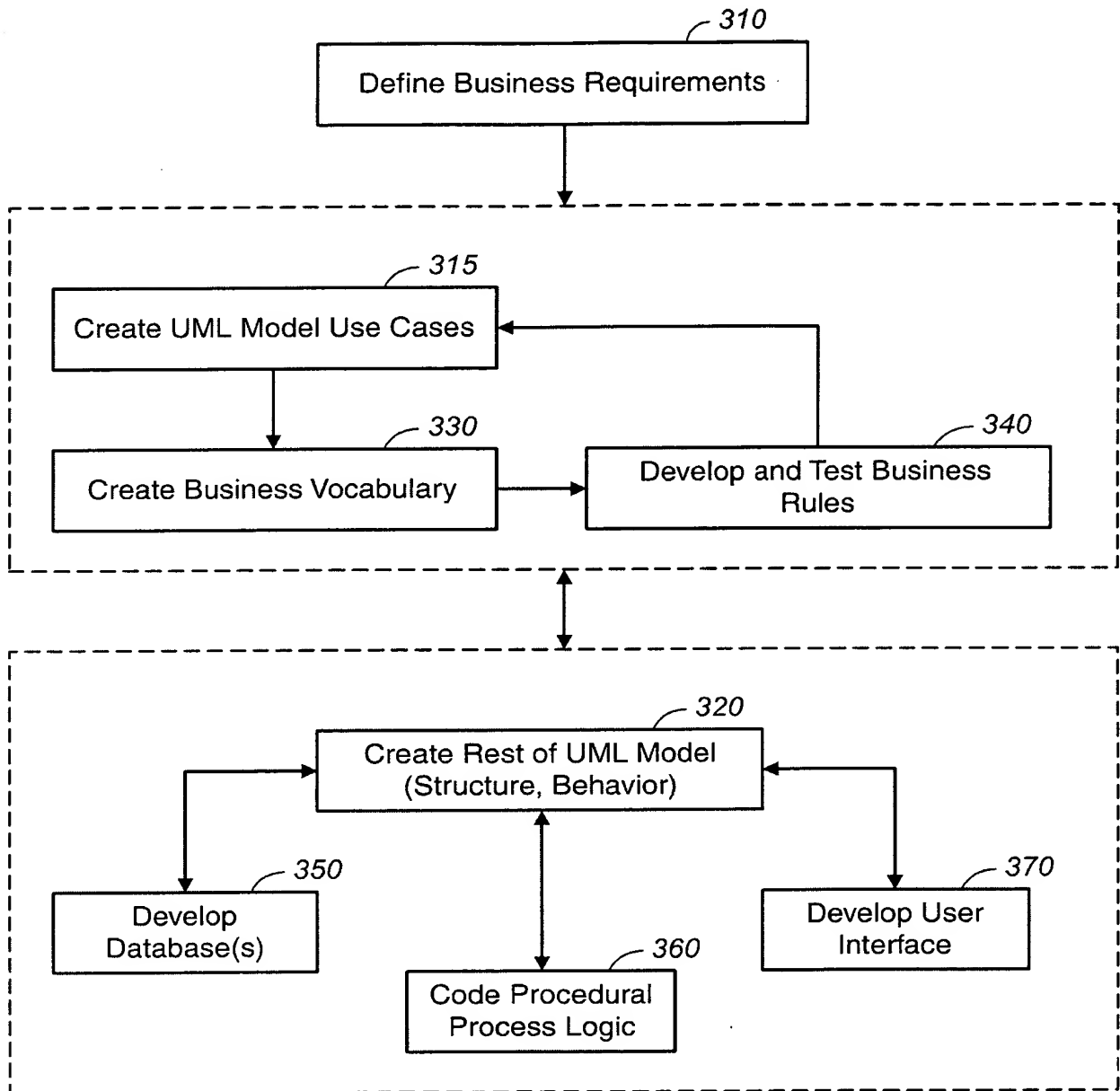


FIG. 3

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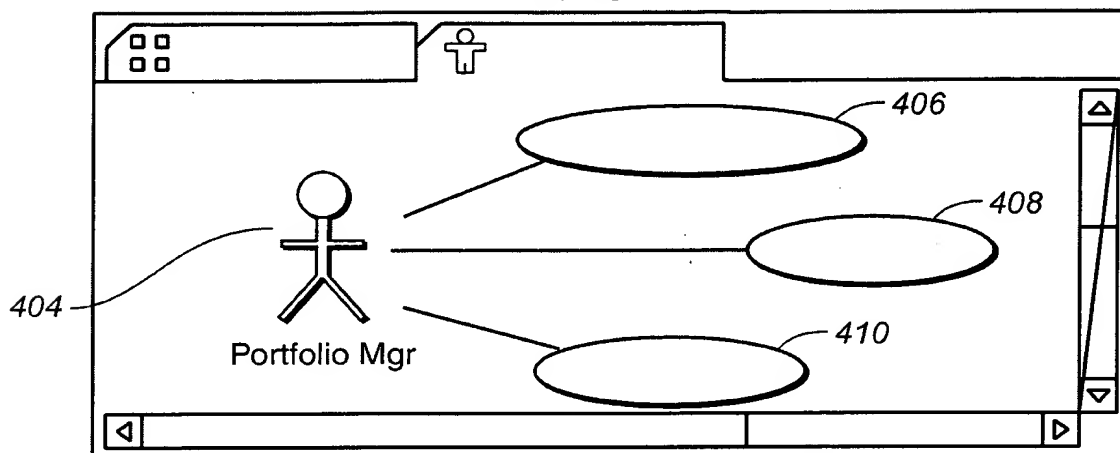


FIG. 4

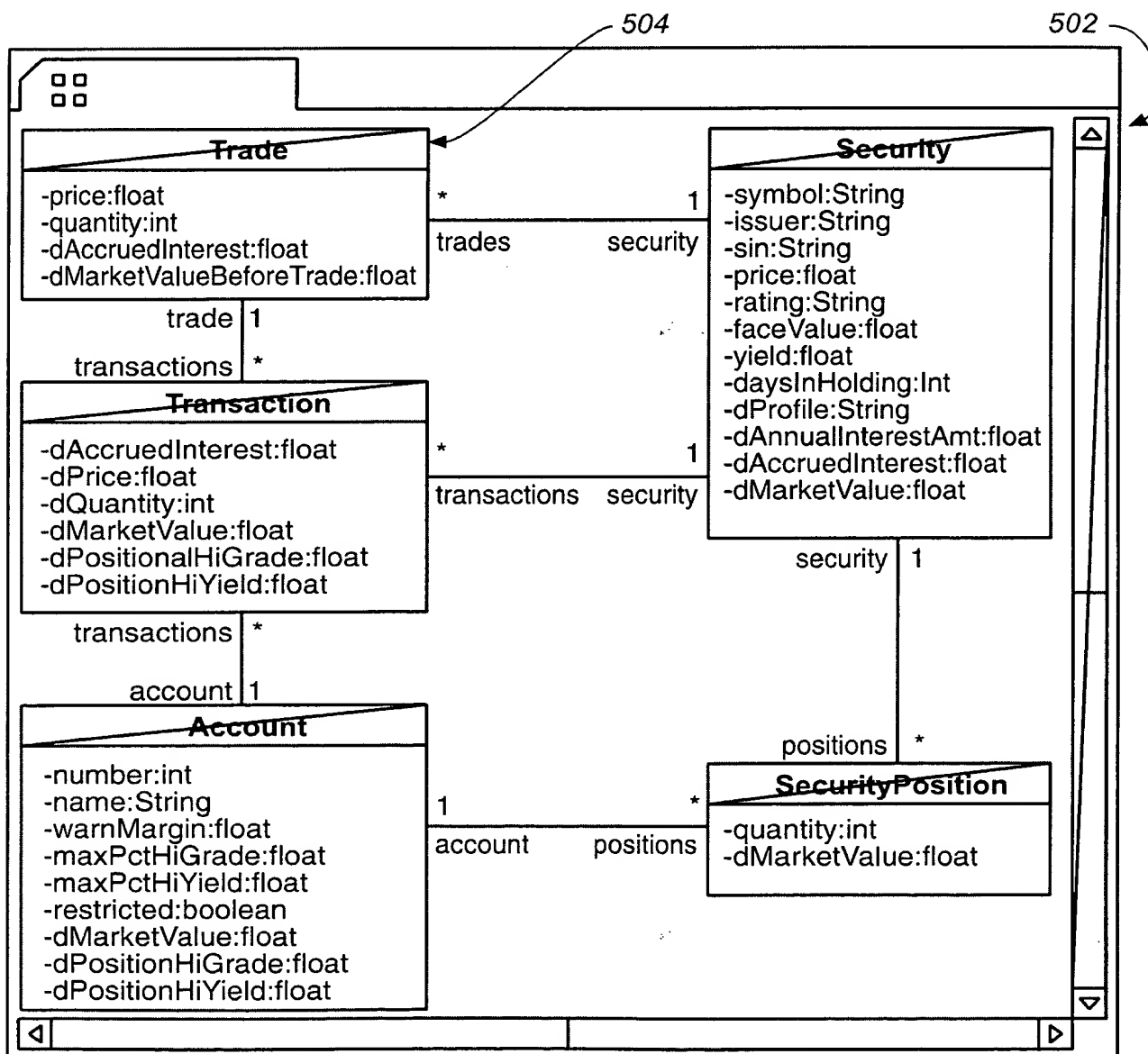


FIG. 5

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☐ Vocabulary

☐ FIM

Account

Security

SecurityPosition

Trade

price

quantity

dAccruedInterest

dMarketValueBeforeTra

☒
☐
☒

Rules

Conditions	Values	A	B	C
1 price	{ null, notnull }	null	-	
2 quantity	{ null, notnull }	-	null	
3				

Actions

postViolation	Overrides
1	

Rule Statements

A	B	C
Trade Price is required		
Trade Quantity is required		

FIG._6

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704

☐ Vocabulary ☐ ☐

☐ Account ~ 706

☐ number ~ 708

☐ name

☐ warnMargin

☐ maxPctHiGrade

☐ maxPctHiYield

☐ restricted

☐ dMarketValue

☐ dPositionHiGrade

☐ dPositionHiYield

☐ dNewMarketValue

☐ dNewPositionHiGrade

☐ dNewPositionHiYield

☐ dPctHiGrade

☐ dPctHiYield

☐ positions

☐ quantity ~ 710

☐ dMarketValue

☐ security ~ 716

☐ symbol

☐ issuer

☐ sin

☐ price

☐ Security ~ 718

☐ SecurityPosition

Shortcuts

Term	Alias
1 Account	&anchor
2 positions	&position
3 &position.security	&security

Preconditions

1	
2	

Rules (non-conditional)

1	dMarketValue = dMarketValue + &position.dMarketValue
2	

Rules

Conditions	Values
1 &security.dProfile	{ 'HI-GRD', 'HI-YLD' }
2	

Actions

1	dPositionHiGrade = dPositionHiGrade + &position.dMarketValue
2	dPositionHiYield = dPositionHiYield + &position.dMarketValue

Overrides

Rule Statements

N.1	The market value of an account is the sum of the market values of all the security positions held by the acc...
A	The total market value for all of the {name} account's High Grade securities is computed by summing the...
B	The total market value for all of the {name} account's High Yield securities is computed by summing the...

ED_SecurityPosition

ED_Account

ED_SecurityProfile

ED_Security

FIG..7

FIG. 8

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Rules									
Conditions		Values							
1	rating	{ 'A', 'BBB', 'BB' }							
2	yield	{ >= 7, < 7 }							
3									
Actions		Values							
1	dProfile	{ 'HI-GRD', 'HI-YLD' }							
		Overrides							
1004									
Rule Statements									
A A security with a rating equal to A is considered HIGH GRADE.									
B A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.									

FIG._10

FIG._11

Rules									
Conditions		Values							
1	rating	{ 'A', 'BBB', 'BB' }							
2	yield	{ >= 7, < 7 }							
3									
Actions		Values							
1	dProfile	{ 'HI-GRD', 'HI-YLD', 'DOG' }							
		Overrides							
Rule Statements									
A A security with a rating equal to A is considered HIGH GRADE.									
B A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.									
C A security with a rating lower than A and a yield lower than 7 is a DOG.									

ED_SecurityPosition	ED_Account	ED_SecurityProfile	ED_Security

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1204

Rules									
Conditions	Values	A	B	C	D	E	F	G	
1 rating	{ 'A', 'BBB', 'BB' }	'A'	-	{ 'BBB', 'BB' }					Δ
2 yield	{ >= 7, < 7 }	-	>= 7	< 7					▽
3		4							Δ

Actions	Values	A	B	C	D	E	F	G	
1 dProfile	{ 'HI-GRD', 'HI-YLD', 'DOG' }	'HI-GRD'	'HI-YLD'	'DOG'					Δ
	Overrides	2							

Rule Statements	
1	A security with a rating equal to A is considered HIGH GRADE.
2	A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.
3	A security with a rating lower than 1 and a yield lower than 7 is a Dog

ED_SecurityPosition	ED_Account	ED_SecurityProfile	ED_Security

FIG. 12

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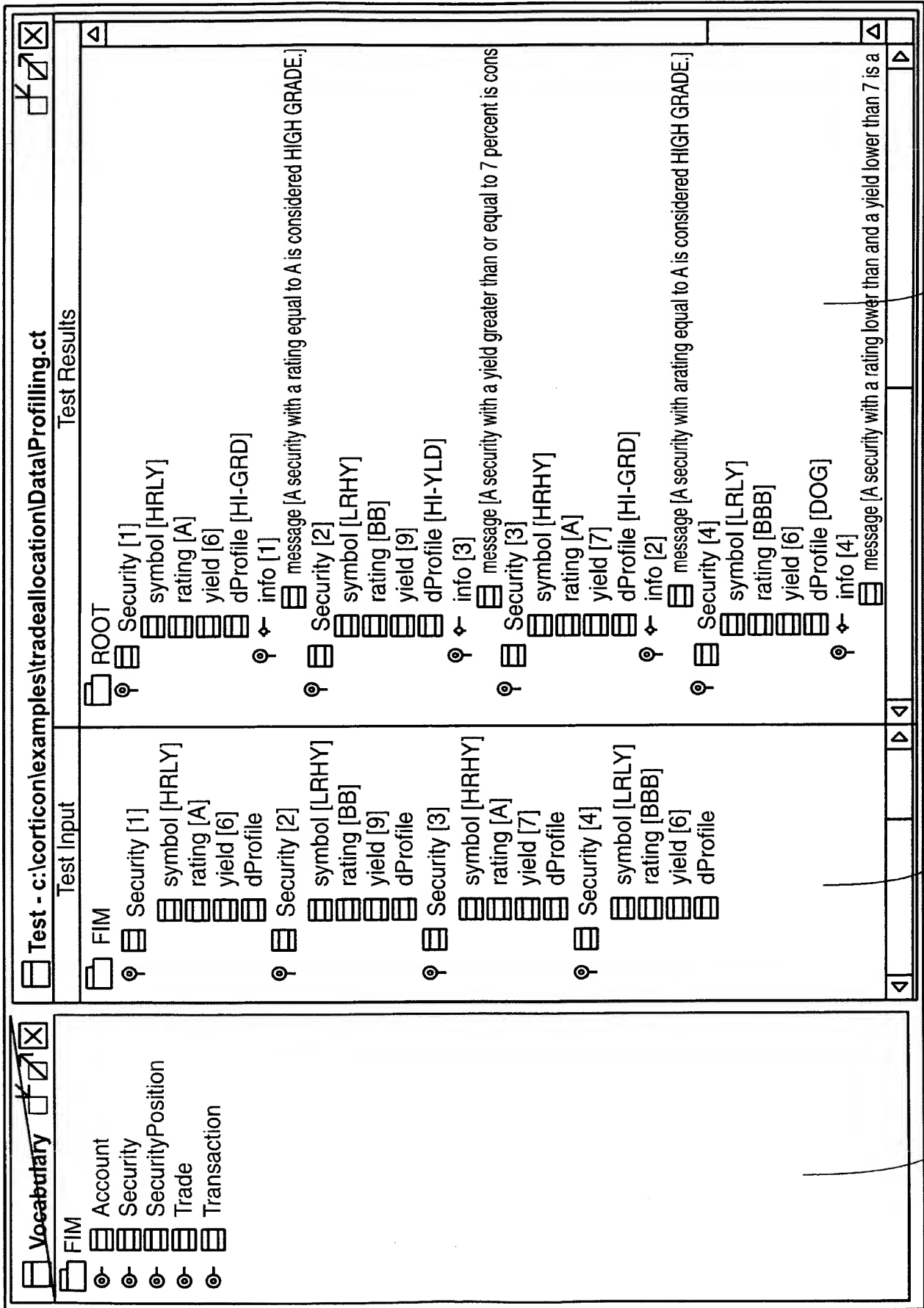


FIG. 13

1306

1304

1308

Rules									
Preconditions									
1									
2									
3									
Conditions									
1	[Condition1]		Value Set		N/C	A	B	C	D
2	[Condition2]		{val1, val2}			val1			E
3			{val3, val4}			val3			
Actions									
1	[Action1]		Value Set			A	B	C	D
2	[Action2]				X				E
3						X			
Overrides									

FIG. 14

Rules									
Preconditions									
1									
2									
Conditions									
Value Set->	[Condition1]	[Condition2]				[Action1]	[Action2]		Overrides
N/C	{val1, val2}	{val3, val4}							
A					X				
B	val1	val3					X		
C									
D									
E									

FIG. 15

Rules										
Preconditions										
1										
2										
Conditions		Value Set			N/C	A	B	C	D	E F
1										
2										
3										
Actions		Value Set				A	B	C	D	E F
1						X		X		
2						X				
3							X			

Overrides			
Dominant Rule		Recessive Rule	
1	A2	>>	B3
2	C1		B3

Expression										
Preconditions										
1										
2										
3										
Conditions		Value Set			A	B	C	D	E	F G
1	[Condition1]		{T, F}		T	-	-	F		
2	[Condition2]		{T, F}		F	-	T	F		
3	[Condition3]		{T, F}		-	T	F	F		
exprName		boolean			T	T	F	F		

FIG._16

FIG._17

FIG. 18

FIG. 18